



10/31/02 SS 11/6 *Recept #4*  
U.S. Express Mail No.: EU627251865US  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Jeng H. Hwang et al. § Group Art Unit: 1756  
S SERIAL NO.: 10/057,674 § Examiner: Unknown  
FILED: January 24, 2002 §  
FOR: MASKING METHODS AND ETCHING §  
SEQUENCES FOR PATTERNING §  
ELECTRODES OF HIGH DENSITY §  
RAM CAPACITORS § Docket No.: AM-2602.C1

October 29, 2002

**REQUEST FOR CORRECTED FILING RECEIPT  
TRANSMITTAL LETTER**

**Commissioner for Patents  
Washington, DC 20231**

Sir:

Transmitted herewith is a Request for Corrected Filing Receipt. Applicant does not believe that any fees are due in connection with the filing of this Request for Corrected Filing Receipt. However, if it should be determined otherwise, any fees dues in connection with the filing of this document should be charged to Deposit Account No. 50-1512 of Shirley L. Church, Sunnyvale, California.

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**CERTIFICATE OF MAILING (37 CFR § 1.10)**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below as U.S. Express Mail No. EU627251865US in an envelope addressed to the: Commissioner for Patents, Application Processing Division, Customer Correction Branch, Washington, DC 20231.

Date: October 29, 2002

*Shirley L. Church*  
Shirley L. Church, Reg. No. 31,858

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This transmittal letter is submitted in duplicate for accounting purposes.

Respectfully submitted,

  
Shirley L. Church  
Shirley L. Church  
Registration No. 31,858  
Attorney for Applicant  
(408) 245-5109

Correspondence Address:  
Patent Counsel  
Applied Materials, Inc.  
P.O. Box 450A  
Santa Clara, CA 95052



U.S. Express Mail No.: EU627251865US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Jeng H. Hwang et al. § Group Art Unit: 1756  
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RAM CAPACITORS § Docket No.: AM-2602.C1

October 29, 2002

**REQUEST FOR CORRECTED FILING RECEIPT**

**Commissioner for Patents  
Washington, DC 20231**

Sir:

Applicant hereby requests a corrected Filing Receipt in the above-referenced patent application. The Filing Receipt includes incomplete Domestic Priority data.

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**CERTIFICATE OF MAILING (37 CFR § 1.10)**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below as U.S. Express Mail No. EU627251865US in an envelope addressed to the: Commissioner for Patents, Application Processing Division, Customer Correction Branch, Washington, DC 20231.

Date: October 29, 2002

*Shirley L. Church*  
Shirley L. Church, Reg. No. 31,858

---

As shown on the application transmittal letter (a copy of which is enclosed), the Domestic Priority data as claimed by applicant should read as follows:

THIS APPLICATION IS A CON OF 09/421,467 10/19/1999 ABN;

WHICH IS A CIP OF 09/251,588 02/17/1999 ABN;

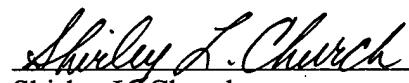
AND IS A CIP OF 09/251,826 02/17/1999 PAT 6,323,132;

AND IS A CIP OF 09/251,633 02/17/1999 PAT 6,265,318;

**WHICH ARE CIPS OF 09/006,092 01/13/98 ABN.**

A copy of the original Filing Receipt with the changes indicated in red is enclosed. Please issue a corrected Filing Receipt, as requested above.

Respectfully submitted,

  
\_\_\_\_\_  
Shirley L. Church  
Registration No. 31,858  
Attorney for Applicant  
(408) 245-5109

Patent Counsel  
Applied Materials, Inc.  
P.O. Box 450A  
Santa Clara, CA 95052



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/057,674	01/24/2002	1756	1052	AM-2602.C1	34	28	5

CONFIRMATION NO. 1101

Patent Counsel  
Applied Materials, Inc.  
P.O. Box 450 A  
Santa Clara, CA 95052

FILING RECEIPT



\*OC00000008404754\*



Date Mailed: 07/05/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jeng H. Hwang, Cupertino, CA;  
Steve S.Y. Mak, Pleasanton, CA;  
True-Lon Lin, Cupertino, CA;  
Chentsau Ying, Cupertino, CA;  
John W. Schaller, Morgan Hill, CA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/421,467 10/19/1999 ABN  
WHICH IS A CIP OF 09/251,588 02/17/1999 ABN  
AND IS A CIP OF 09/251,826 02/17/1999 PAT 6,323,132  
AND IS A CIP OF 09/251,633 02/17/1999 PAT 6,265,318

**WHICH ARE CIPS OF 09/006,092 01/13/98 ABN.**

Foreign Applications

If Required, Foreign Filing License Granted 04/22/2002

Projected Publication Date: 08/01/2002

Non-Publication Request: No

Early Publication Request: No

**Title**

Masking methods and etching sequences for patterning electrodes of high density RAM capacitors

**Preliminary Class**

430

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



U.S. Express Mail No.: EU092830426US  
Attorney Docket No.: AM-2602.C1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT APPLICATION TRANSMITTAL LETTER**

In Re Patent Application Of: Jeng H. Hwang et al. ) Art Group: 1756  
Application No.: Not Yet Assigned ) (Parent Application)  
Filing Date: January 24, 2002 )  
Title: MASKING METHODS AND ETCHING ) Attorney Docket No.:  
SEQUENCES FOR PATTERNING ) AM-2602.C1  
ELECTRODES OF HIGH DENSITY )  
RAM CAPACITORS )  
January 24, 2002 )

**CERTIFICATE OF MAILING UNDER 37 CFR § 1.10**  
"U.S. EXPRESS MAIL" MAILING LABEL NUMBER : EU092830426US

DATE OF DEPOSIT: January 24, 2002

I hereby certify that this application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 having the MAILING LABEL NUMBER referenced above, addressed to the Commissioner for Patents, Box Patent Application, Washington, DC 20231 on the DATE OF DEPOSIT referenced above.

Shirley L. Church (Signature)  
By: Shirley L. Church, Reg. No. 31,858 (Type Name)  
Signature Date: January 24, 2002

**CONTINUATION APPLICATION TRANSMITTAL LETTER**

**BOX: Patent Application**  
Commissioner for Patents  
Washington, DC 20231

Sir:

Applicant hereby files a [X] continuation [ ] divisional [ ] continuation-in-part application under 37 CFR § 1.53(b) of the prior complete application identified below.

**IDENTIFICATION OF PRIOR COMPLETE APPLICATION**

Title: As originally filed - IMPROVED MASKING METHODS AND ETCHING SEQUENCES  
FOR PATTERNING ELECTRODES OF HIGH DENSITY RAM  
CAPACITORS

U.S. Express Mail No.: EU092830426US  
Attorney Docket No.: AM-2602.C1

Application Number: 09/421,467

Filing Date: October 19, 1999

Inventors: Jeng H. Hwang; Steve S. Y. Mak; True-Lon Lin; Chentsau Ying;  
John W. Schaller

Enclosed is a copy of the original, first, prior complete application, including a copy of the oath or declaration showing the signature of the inventors. The enclosed papers are a true copy of the prior complete application as filed, including the specification, claims, drawings and signed oath or declaration, and any amendments referred to in the oath or declaration filed to complete the prior application.

## INVENTORS

1.  The inventors of the present application are the same as in the prior complete application.
2.  The inventor(s) of the present application have been changed to include the following named inventor(s): \_\_\_\_\_
  - a.  It is requested that the following persons be deleted as inventor(s) in the present application: \_\_\_\_\_
  - b.  The present application is a continuation-in-part of the prior complete application, and an oath or declaration as required under 37 CFR § 1.63 accompanies this paper.

## AMENDMENTS

3.  Enter the amendment previously filed under 37 CFR § 1.116, but unentered, in the prior application.
4.  A preliminary amendment is enclosed.
5.  Amend the specification by inserting before the first line the sentence: -- This application is a continuation application of Application Serial No. 09/421,467, filed October 19, 1999, which is currently pending. Application Serial No. 09/421,467 is a continuation-in-part of the following applications: Serial No. 09/251,588, filed February 17, 1999, which is abandoned; Serial No. 09/251,826, filed February 17, 1999, which issued as U.S. Patent No. 6,323,132, on November 27, 2001; and Serial No. 09/251,633, which issued as U.S. Patent No. 6,265,318, on July 24, 2001. Application Serial Nos. 09/251,588; 09/251,826; and 09/251,633 are continuations-in-part of Application Serial No. 09/006,092, filed January 13, 1998, which is abandoned.

6.  The title in the present application is as follows: MASKING METHODS AND  
ETCHING SEQUENCES FOR PATTERNING ELECTRODES OF HIGH DENSITY  
RAM CAPACITORS.

#### INTERNATIONAL PRIORITY

7.  Priority of Application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, in \_\_\_\_\_ (country) is claimed under 35 USC § 119.

8.  The certified copy of the priority application:

is enclosed;  
 was filed on \_\_\_\_\_ in prior Application Serial No. \_\_\_\_\_; filed on \_\_\_\_\_;  
 has not yet been filed.

#### PRIORITY UNDER 35 USC § 120

9.  Applicants hereby claim priority under 35 USC § 120, wherein the priority applications are Serial Nos. 09/421,467; 09/251,588; 09/251,826; 09/251,633; and 09/006,092.

#### ATTORNEY OR AGENT OF RECORD

10.  The power of attorney in the prior application is to: Michael L. Sherrard (Reg. No. 28,041); Peter J. Sgarbossa (Reg. No. 25,610); Donald Verplancken (Reg. No. 33,217); Lawrence Edelman (Reg. No. 25,225); Michael B. Einschlag (Reg. No. 29,301); Raymond Kam-On Kwong (Reg. No. 37,165); James C. Wilson (Reg. No. 35,412); Robert W. Mulcahy (Reg. No. 25,436); Robert C. Colwell (Reg. No. 27,431); and William Shaffer (Reg. No. 37,234).

a.  The power appears in the original papers in the prior application.  
b.  Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.

11.  A copy of the Declaration & Power of Attorney is enclosed.

12.  A copy of an Associate Power of Attorney in the parent application is enclosed. The Associate Power is to: Shirley L. Church (Reg. No. 31,858) and Kathi Bean (Reg. No. 36,644).

#### OTHER

13.  Also enclosed: Copy of the Assignment document, with Recordation Cover Sheet, in the parent application.

14.  Cancel in this application Claims \_\_\_\_ of the prior application before calculating the filing fee. (At least one independent claim must be retained for filing purposes.)
15.  Cancel in this application all claims of the prior application and substitute the claims contained in the attached Preliminary Amendment prior to calculating the filing fee.
16.  Add the additional claims in the attached Preliminary Amendment prior to calculating the filing fee.

**FEES DUE**

17.

CLAIMS					
	NO. OF CLAIMS		EXTRA CLAIMS	RATE	FEE
Basic Application Fee					\$ 740.00
Total Claims	28	MINUS 20 =	8	x \$18 =	144.00
Independent Claims	5	MINUS 3 =	2	x \$84 =	168.00
If multiple dependent claims are presented, add \$270.00					00.00
<b>TOTAL APPLICATION FEE DUE</b>					<b>\$1,052.00</b>

18.  A Petition for Extension of Time to respond to the outstanding official action in the prior application, up to and including the filing date of the present application, is enclosed, the fee for which is \$
19.  New drawings are enclosed ( formal  informal)

**PAYMENT OF FEES**

20. The full fee due in connection with this communication is \$ 1,052.00, and is provided as follows:
  - a.  Check No. \_\_\_\_ in the amount of \$ \_\_\_\_\_ is enclosed.
  - b.  The Commissioner is hereby authorized to charge the filing fee of \$ 1,052.00, as well as any additional fees which may be due under 37 CFR § 1.16 and § 1.17, which are required by this paper, and to credit any overpayment, to Deposit Account No. 50-1074 of Applied Materials, Inc., Santa Clara, California.

U.S. Express Mail No.: EU092830426US  
Attorney Docket No.: AM-2602.C1

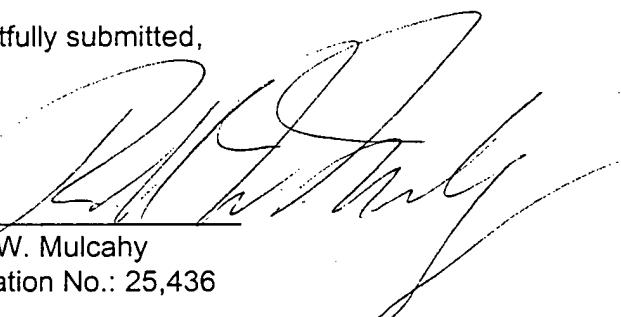
This transmittal letter is submitted in duplicate.

**CORRESPONDENCE ADDRESS**

Address all future communications to:

Patent Counsel  
Applied Materials, Inc.  
P.O. Box 450 A  
Santa Clara, California 95052

Respectfully submitted,

By:   
Robert W. Mulcahy  
Registration No.: 25,436

Date: January 24, 2002